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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Signature

Applicant : Oscar E. Agazzi  
Application No. : 09/989,367  
Filed : November 20, 2001

Title : METHOD AND SYSTEM TO IDENTIFY AND  
CHARACTERIZE NONLINEARITIES IN OPTICAL  
COMMUNICATIONS CHANNELS

Grp./Div. : 2633

Examiner : Not Yet Assigned  
Docket No. : 41281/RJP/B600



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Technology Center 2600

INFORMATION DISCLOSURE STATEMENT AND  
CERTIFICATION UNDER § 1.97(e)(1)

Assistant Commissioner for Patents  
Washington, D.C. 20231

Post Office Box 7068  
Pasadena, CA 91109-7068  
August 28, 2002

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO/SB/08A/B with a listing of references that are known to applicant. Copies of each of the listed references are enclosed.

It is respectfully requested that these references be considered in the examination of this application and identified on the list of references cited on the patent issuing on this application. Applicant also requests that an initialed copy of said FORM PTO/SB/08A/B be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

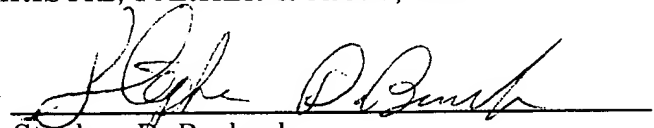
Application No.09/989,367

Applicant's undersigned attorney hereby certifies, in accordance with 37 CFR § 1.97(e)(1), that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Respectfully submitted,

CHRISTIE, PARKER & HALE, LLP

By



Stephen D. Burbach

Reg. No. 40,285

626/795-9900

SDB/dlf

Enclosures: PTO/SB/08A/B, w/references

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 FORM PTO/SB/08A/B (10-01)  
 Substitute for PTO-1449A/B

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

|                        |                   |
|------------------------|-------------------|
| Attorney Docket Number | 41281/SDB/B600    |
| Application Number     | 09/989,367        |
| Filing Date            | November 20, 2001 |
| Applicant(s)           | Oscar E. Agazzi   |
| Group Art Unit         | 2633              |
| Examiner Name          | To be assigned    |

**U.S. PATENT DOCUMENTS**

| EXAMINER<br>INITIALS | Cite<br>No. <sup>1</sup> | <u>DOCUMENT NUMBER</u><br>Number - kind code <sup>2</sup> .<br>(If known) | PUBLICATION DATE<br>MM-DD-YYYY | NAME OF PATENTEE |
|----------------------|--------------------------|---|--------------------------------|------------------|
|                      |                          | 5,726,965   | 03-10-1998                     | Hajjar et al.    |
|                      |                          |   |                                |                  |

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**FOREIGN PATENT DOCUMENTS**

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| EXAMINER<br>INITIALS | Cite<br>No. <sup>1</sup> | <u>Foreign Patent Document</u><br>Country Code <sup>3</sup> - Number <sup>4</sup> . Kind<br>Code <sup>6</sup> (If known) | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | T <sup>6</sup><br>(✓) |
|----------------------|--------------------------|--|-----------------------------------|--|-----------------------|
|                      |                          |  |                                   |  |                       |

**OTHER DOCUMENTS**

| EXAMINER<br>INITIALS | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |
|----------------------|--------------------------|--|
|                      |                          | T. THORMUNDSSON et al., <i>Cancellation of Nonlinear Intersymbol Interference in Voiceband Communication Channels</i> , March 1997, pp. 862-865, 0-7803-3905, Engineering Research Institute, University of Iceland                          |
|                      |                          | S. BELLINI et al., <i>Nonlinear Cross Talk Cancellation for High Density Optical Recording</i> , Global Telecommunications Conference - Globecom '99, May 1999, pp. 933-938, 0-7803-5796, Politecnico de Milano, Italy                       |
|                      |                          | N. SANDS et al., <i>Non-Linear Identification on the Digital Magnetic Recording Channel</i> , Information Systems Laboratory, March 1991, pp. 6-10, 1058-6393/91, Stanford University, Stanford, CA  |
|                      |                          | International Search Report, dated July 1, 2002  |

|                       |                    |
|-----------------------|--------------------|
| EXAMINER<br>SIGNATURE | DATE<br>CONSIDERED |
|-----------------------|--------------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.

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